

# Retention and Classification Report

**Agency:** Department of Transportation. Office of Internal Audit (1184)

4501 South 2700 West  
P.O. Box 148230  
Salt Lake City, UT 84114  
965-4633

**Records Officer** Jimmy Holfeltz

10550	Internal administrative correspondence
10228	Internal audits
10229	Pre-award and post consultant audits
10233	Special audits
10234	Utility, railroad, and local government audits

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10550

3

**TITLE:** Internal administrative correspondence

**DATES:** 1968-

**ARRANGEMENT:** Chronological

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

Business-related messages that document work accomplished, transactions made, or actions taken. These records do not offer unique information about agency functions, programs, or policies, though they may cite them. These records may originate on paper, electronic mail, or other media.

**RETENTION:**

Retain 2 years.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 1, Item 16.

**AUTHORIZED:** 06/24/1992

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 2 years and then destroy.

**APPRAISAL:**

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10550

**TITLE:** Internal administrative correspondence

(continued)

**PRIMARY CLASSIFICATION:**

Public

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10228

3

**TITLE:** Internal audits

**DATES:** ca. 1936-

**ARRANGEMENT:** Numerical by district, thereunder alphanumerical by division code

**ANNUAL ACCUMULATION:** 0.10 cubic feet.

**DESCRIPTION:**

These records are audits of the offices, divisions, sections, and other units of UDOT. The Division of Internal Audit reviews offices for compliance with governing regulations and for economy, efficiency, and effectiveness of their operations. Audits are conducted yearly. These records include the audit program, personal observations, interviews with employees, compilation of payroll/FIRMS, analysis of records reviewed, draft reports, and the final audit report.

**RETENTION:**

Retain 3 years.

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 7.

**AUTHORIZED:** //

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 1 year or until updated and then transfer to State Records Center. Retain in State Records Center for 2 years and then transfer to State Archives with authority to weed.

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10228

**TITLE:** Internal audits

(continued)

**APPRAISAL:**

Administrative

This disposition is based on the administrative needs expressed by the agency.

**PRIMARY CLASSIFICATION:**

Public

**SECONDARY CLASSIFICATION(S):**

Protected. Audit program and records classified by other entities

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10229

3

**TITLE:** Pre-award and post consultant audits

**DATES:** 1986-

**ARRANGEMENT:** Alphabetical by vendor name, thereunder alphanumerical by project number

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

These records document audits of companies before and after projects are awarded. Internal Audit conducts the audits to make sure the company's accounting system is adequate for Utah Department of Transportation needs; to determine that rates reflect their actual cost of overhead, equipment, and labor; to see if the company is complying with federal acquisition regulations; and to verify all labor hours, rates, direct costs, and overhead after the project. Information includes the company's rate structure and trade secrets, correspondence, final audit reports, audit programs, audits from other agencies, and financial statements.

**RETENTION:**

Retain 6 years after final payment.

**DISPOSITION:**

Destroy.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 13, Item 5.

**AUTHORIZED:** 11/25/2003

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 6 years after final payment and then destroy.

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10229

**TITLE:** Pre-award and post consultant audits

(continued)

**APPRAISAL:**

Administrative Fiscal Legal

This disposition is based on the Federal Highway Administration retention requirements for audit records, as stated in the Federal-Aid Highway Program Manual, volume 1, chapter 9, section 1.

**PRIMARY CLASSIFICATION:**

Protected

**SECONDARY CLASSIFICATION(S):**

Public. Contracts and billings

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10233

3

**TITLE:** Special audits

**DATES:** ca. 1936-

**ARRANGEMENT:** Alphabetical by company, thereunder alphanumerical by project number

**ANNUAL ACCUMULATION:** 0.20 cubic feet.

**DESCRIPTION:**

These records document audits of any nature that are assigned to UDOT by the director or Legislature. They are mostly financial audits which determine how Transportation should set policies regarding a certain company (whether to contract with or buy from them). The companies are privately owned but are always transportation-oriented, such as with railroads or ferry boats. The information in the audits includes asset evaluations, ownership, appraisal of value, business documentation (weigh tickets, bills of lading, invoices, etc.), some correspondence, audit program, audit testing, and the final audit report.

**RETENTION:**

Retain 3 years.

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 7.

**AUTHORIZED:** //

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years and then transfer to State Archives with authority to weed.



**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10233

**TITLE:** Special audits

(continued)

**APPRAISAL:**

Administrative

This disposition is based on the administrative needs expressed by the agency.

**PRIMARY CLASSIFICATION:**

Protected

**SECONDARY CLASSIFICATION(S):**

Public.                      Contracts and billings

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10234

3

**TITLE:** Utility, railroad, and local government audits

**DATES:** 1936-

**ARRANGEMENT:** Alphabetical by company name, thereunder alphanumerical by project number

**ANNUAL ACCUMULATION:** 2.00 cubic feet.

**DESCRIPTION:**

These records are created when a transportation project is started that requires the moving of utility or railroad facilities. Utility services may be moved by the utility company or by a private contractor. These records are the audits of payments made by Transportation for the moving to be completed. Included are labor records, payroll, equipment usage and cost, overhead, correspondence, audit program, audit testing, and the final audit report.

**RETENTION:**

Retain 3 years after final payment.

**DISPOSITION:**

Transfer to the State Archives with authority to weed.

**RETENTION AND DISPOSITION AUTHORIZATION:**

Retention and disposition for this series is authorized by Archives general schedule SG 7, Item 7.

**AUTHORIZED:** //

**FORMAT MANAGEMENT:**

The retention and disposition information on this schedule applies to the record copy which can be in any format. The record copy can include different formats. Format management information provided here is for the purpose of managing records that are being either stored by or transferred to Utah State Archives.

Paper: Retain in Office for 3 years after final payment and then transfer to State Archives with authority to weed.

**AGENCY:** Department of Transportation. Office of Internal Audit

**SERIES:** 10234

**TITLE:** Utility, railroad, and local government audits

(continued)

**APPRAISAL:**

Legal

This disposition is based on Federal Highway Administration retention requirements as stated in the Federal-Aid Highway Program Manual, volume 1, chapter 9, section 1.

**PRIMARY CLASSIFICATION:**

Private

**SECONDARY CLASSIFICATION(S):**

Protected.	Information the company has supplied
Public.	Contracts and billings